

**FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON SEPTEMBER 6, 2024 AS TO CLAIMANT 3 PURSUANT TO RULE  
21F-10(F) OF THE SECURITIES EXCHANGE ACT OF 1934**

**Notice of Covered Action** [REDACTED]

Reference No. 09062024

**PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the U.S. Securities and Exchange Commission (“Commission”) received three whistleblower award claims from [REDACTED] and jointly from [REDACTED] (collectively, “Claimant 3”). Pursuant to Section 21F of the Securities Exchange Act of 1934 (“Exchange Act”) and Rule 21F-10 promulgated thereunder, the Claims Review Staff has evaluated the claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED] (collectively Claimant 3)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimants [REDACTED] 3. The basis for this determination is as follows:

Claimants [REDACTED] 3 did not provide information that led to the successful enforcement of the Covered Action within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because their information did not: (1) cause the Commission to (i) commence an examination, (ii) open or reopen an investigation, or (iii) inquire into different conduct as part of a current Commission examination or investigation under Rule 21F-4(c)(1) of the Exchange Act; or (2) significantly contribute to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.<sup>2</sup>

In reaching this preliminary determination, we note that the record reflects that the investigation that led to the Covered Action was not opened based on information provided by Claimants [REDACTED] 3. In addition, none of the information provided by these Claimants caused staff to inquire concerning different conduct as part of the ongoing investigation or significantly contributed to the success of the Covered Action. [REDACTED]

[REDACTED] Staff working on the Covered Action investigation did not have any contact or communication with Claimant 3 before or during the

<sup>1</sup> [REDACTED]

<sup>2</sup> To be eligible for a related action award, claimants must first be eligible for an award for a Covered Action. Claimants [REDACTED] 3 are not eligible for an award in connection with the Covered Action and, as a result, are not eligible for an award in connection with a related action.

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[REDACTED]  
[REDACTED]

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Investigation and Claimant 3 did not provide any information that was used in or contributed to the Covered Action.

By: Claims Review Staff

Date: July 8, 2024